

## Documentation form for

Last name, first name

for the purpose of verifying the identity of **natural persons**<sup>1</sup> under the German Money Laundering Act (Geldwäschegesetz, GwG)  
for obliged entities from the non-financial sector (Section 2 subsection 1, Nos. 6, 8, 11, 13, 14 and 16, GwG)

Name of the recording office:

Person responsible:

Order/Invoice No.:

### 1. Verification of the identity of the contractual partner (→ **Note**: Only if the contractual partner is present in person)<sup>2</sup>

- The necessary **copy**<sup>3</sup> or **scan of the ID/passport of the contractual partner** has been made and is attached. The document is valid. (→ Go to No. 2 if the document contains all of the required data.)

Complete the following if the information is *not* contained in the copied/scanned document:

Street, house No., postal code,  
city:

If applicable, additional missing  
information:

- The identity of the contractual partner **was already verified on**

First and last name

Date

The data were recorded and continue to apply without any apparent doubt. (→ Go to No. 2.)

→ **Note**: Please check the data periodically or as the situation deems necessary and update them if need be.

### 2. Verification of the identity of the person acting on behalf of the contractual partner, if applicable, e.g. a representative or courier<sup>4</sup>

First and last name

→ **Note**: Simply verifying the identity of the representative/courier in order to avoid verifying the identity of the contractual partner is not permitted and is punishable by a fine!

- The necessary **copy**<sup>3</sup> or **scan of the ID/passport** of the person acting on behalf of the contractual partner **has been made and is attached**. The document is valid. (→ Go to No. 3 if the document contains all of the required data.)

Complete the following if the information is *not* contained in the copied/scanned document:<sup>2</sup>

Street, house No.,  
postal code, city:

If applicable, additional missing  
information:

- The identity of the person acting on behalf of the contractual partner **was already verified on**

First and last name

Date

The data were recorded and continue to apply without any apparent doubt. (→ Go to No. 3.)

→ **Note**: Please check the data periodically or as the situation deems necessary and update them if need be.

#### **Must also be verified:**

The person acting on behalf of the contractual partner has the right to represent the contractual partner based on the following documentation:

### 3. Determination and verification of the identity of the economic beneficiary

The contractual partner  is acting in **his/her own economic interest** and *not* at the request of a third party.

**or**

- is acting at the request of or in the economic interest of the *natural person listed below (in the case of several persons, please list their data separately):*

Last name\*:

First name\*:

\* Required! Recording additional data is generally voluntary; however, in individual cases in which there is a higher risk of money laundering or terrorist financing, it is mandatory!

Date of birth:

Place of birth:

Street, house No., postal code and city:

Steps taken to determine the economic beneficiary:

**4. Background information on the business relationship<sup>5</sup> (not in the case of transactions<sup>9</sup>)**

- The type of business relationship<sup>5</sup> already clearly shows the purpose and nature of the intended business relationship.
- The purpose and nature of the intended business relationship<sup>5</sup> have been determined in the following manner:

**5. Examination of the application of enhanced due diligence measures**

- |    |  |                              |                             |
|----|--|------------------------------|-----------------------------|
| a) | Based on the internal company risk analysis or a case-by-case assessment, is there a <b>higher risk</b> for money laundering or terrorist financing for this transaction <sup>9</sup> /business relationship <sup>5</sup> ? <sup>6</sup> | <input type="checkbox"/> yes | <input type="checkbox"/> no |
| b) | Is the contractual partner or the economic beneficiary (if applicable) a <b>politically exposed person<sup>7</sup></b> , a family member of such a person or a known close associate of such a person?                                   | <input type="checkbox"/> yes | <input type="checkbox"/> no |
| c) | Is the contractual partner or the economic beneficiary (if applicable) established in a <b>high-risk third country<sup>8</sup></b> according to the EU list of such countries?   | <input type="checkbox"/> yes | <input type="checkbox"/> no |
| d) | Is this a <b>transaction<sup>9</sup> that is especially complex or large, will proceed in an unusual manner or has no apparent economic or lawful purpose?</b>   | <input type="checkbox"/> yes | <input type="checkbox"/> no |

→ If you answered at least one of the questions in a) to d) with “yes,” then please also fill out the checklist “Carrying out enhanced due diligence measures.”

**6. Reason for recording the information** (In the case of several contractual partners, you must use a separate documentation form for each natural person.)

- Suspicion of money laundering or terrorist financing or
- Doubts with respect to the identification information or
- Establishment of a business relationship<sup>5</sup> or
- Transaction<sup>9</sup> in the amount of 15,000 euros or more outside of an existing business relationship
- Obligation to verify identity for traders in goods:**
- You/an appointed third party are/is making or receiving a cash payment of 10,000 euros or more.
  - You/an appointed third party are/is making or receiving a cash payment of 2,000 euros or more for **precious metals**.
  - A transaction<sup>9</sup> in the amount of 10,000 euros or more (cash/non-cash) is being made for **works of art**.
- Obligation to verify identity for persons acting as intermediaries in the trade of works of art or for persons storing works of art** in the case of a transaction<sup>9</sup> (cash/non-cash) in the amount of 10,000 euros or more.
- Obligation to verify identity for real estate agents:**
- When acting as an intermediary for purchase agreements
  - When acting as an intermediary for rental or lease agreements with a monthly rent or lease payment of 10,000 euros or more
- **Note:** Please use a separate documentation form for each contractual party (buyer and seller of the real estate).

Date

Signature of the person responsible

<sup>1</sup> If the contractual partner is a sole proprietorship, record the data of the company owner on this form.

<sup>2</sup> The following data must be documented: first and last name, place of birth, date of birth, citizenship and residential address. If the contractual partner is not present in person, you must remotely verify his/her identity.

<sup>3</sup> If applicable, a copy of documents that were issued according to the law on foreign nationals and in lieu of an identity document and are explicitly designated as such

<sup>4</sup> The representative/courier is a natural person who is present in person.

<sup>5</sup> A business relationship is any relationship that is directly related to your commercial or professional activities and that is expected, at the time when the contact is established, to have an element of duration. Important: ≠ transaction, see footnote 9

<sup>6</sup> This may also include transactions or business relationships with countries that are mentioned in Item 3.1.3 and Annex 4 of the National Risk Assessment published by the German Federal Ministry of Finance, as of 01/2020 especially the United Kingdom, China, Italy, Switzerland, Turkey, Russia, the Caribbean islands, the Channel Islands, Lebanon, Panama, Cyprus, Malta, Latvia. Evaluate the risk in your risk analysis and specify your risk-appropriate safeguards here, if applicable.

<sup>7</sup> Politically exposed persons are natural persons who hold a high-ranking public office at the national/international/European level or have done so within the last 12 months. At the state level, only minister presidents, ministers/secretaries and undersecretaries/state secretaries who are members of the German Bundesrat (Federal Council of Germany) are considered politically exposed persons. Also see Section 1 subsection 12 of the German Money Laundering Act.

<sup>8</sup> As of 01/2020 (The current list can be found on the German Customs website under the topic “FIU”): Afghanistan, Bosnia and Herzegovina, Guyana, Iraq, Lao People’s Democratic Republic (Laos), Syria, Uganda, Vanuatu, Yemen, Ethiopia, Sri Lanka, Trinidad and Tobago, Tunisia, Iran, Democratic People’s Republic of Korea (North Korea), Pakistan

<sup>9</sup> A transaction within the meaning of the German Money Laundering Act is a single act or, insofar as they appear to be connected, several acts aimed at or resulting in a transfer of funds or other movement of assets or property. In the case of real estate agents and brokerage activities carried out by traders in goods, the legal transaction that was brokered is deemed to be a transaction.

**This form is a service provided by your money laundering supervisory authority and not intended to be exhaustive.**